

AMSTER  
ROTHSTEIN  
& EBENSTEIN LLP

Intellectual Property Law

90 Park Avenue  
New York NY 10016

Main 212 336 8000

Fax 212 336 8001

Web www.arelaw.com

Partners

Morton Amster  
Jesse Rothstein (1934 - 2003)  
Daniel Ebenstein  
Philip H. Gottfried  
Michael J. Berger  
Neil M. Zipkin  
Anthony F. Lo Cicero  
Kenneth P. George  
Abraham Kasdan, Ph.D.  
Ira E. Silfin  
Chester Rothstein  
Craig J. Arnold  
Kenneth M. Bernstein

Senior Counsel

Charles R. Macedo  
Mark J. Rosenberg  
Nancy M. Dodderidge  
Joseph M. Casino

Associates

Neal L. Rosenberg  
Patrick Boland  
John S. Economou  
Michael V. Solomita  
Holly Pekowsky  
Michael P. Kenney  
Marion P. Metelski

Max Vern

Karl J. Kolbinger  
Brian A. Comack  
Richard S. Mandaro  
Marc J. Jason  
Elie H. Gendloff, Ph.D.  
David Mitnick  
Charles W. Rath  
David A. Boag  
Karen J. Bernstein  
Matthieu Hausig  
Jung S. Hahm  
Reiko Kaji  
Alan D. Miller, Ph.D.

Hsin-Hsin (Ginger) Liu  
John A. Lepore  
Norajean McCaffrey  
Benjamin M. Halpern\*  
Matthew A. Fox  
Michael J. Kasdan  
Rebecca R. Eisenberg

\*Not admitted in New York

November 16, 2005

Elie H. Gendloff, Ph.D., Esq.

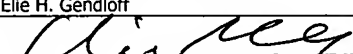
Direct 212 336 8108

E-mail egendlof@arelaw.com

Via Express Mail

(EV 725786525)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

|   |   |
|---|---|
| "Express Mail" mailing label No. EV 725786525 US  |   |
| Date of Deposit:  | November 16, 2005   |
| I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. |   |
| Name:   | Elie H. Gendloff  |
| Signature:  |  |

Re: U.S. Patent Application Serial No. 10/532,009  
(U.S. National Phase Entry of PCT/US03/33438)  
Title: CAGED LIGANDS AND USES THEREOF  
Inventors: David S. Lawrence, Richard G. Pestell,  
and Christopher Albanese  
Our File: 96700/996

Dear Sir/Madam:

Pursuant to our receipt of a "Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)," enclosed please find the following documents for filing with the above-identified patent application in the names of David S. Lawrence, Richard G. Pestell, and Christopher Albanese, entitled CAGED LIGANDS AND USES THEREOF, comprising the following:

1. a copy of a "Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)" dated September 19, 2005 for the above-identified case (3 pages);
2. a "Reply to Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)" (4 pages);
3. a Fee Transmittal, Form PTO/SB/17 (1 page);

16 NOV 2005

Commissioner for Patents  
Serial No. 10/532,009

-2-

November 16, 2005

4. a signed Declaration in compliance with 37 C.F.R. § 1.497(a) and (b) (4 pages total);
5. a Sequence Listing in both paper and computer-readable forms (one paper page and one computer diskette);
6. an Information Disclosure Statement, Forms PTO/SB/08A (1 page) and PTO/SB/08B (3 pages) with 27 non-US patent references attached thereto;
7. an Amster, Rothstein & Ebenstein LLP check in the amount of \$65 to cover the late declaration surcharge, claiming small entity status; and
8. a return receipt postcard.

Small entity status was previously established and is still proper.

Please acknowledge receipt of the enclosed papers by stamping the enclosed postcard and returning same to us.

11/23/2005 ATRAN1 00000075 10532009

01 FC:2617

65.00 OP

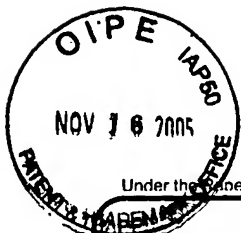
Respectfully submitted,

Amster, Rothstein & Ebenstein LLP  
Attorneys for Applicants  
90 Park Avenue  
New York, NY 10016  
212 336 8000

Dated: New York, New York  
November 16, 2005

By: 

Elie H. Gendloff  
Registration No. 44,704



Rec'd PCT/PTO 16 NOV 2005

PTO/SB/17 (12-04v2)

Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

# FEE TRANSMITTAL

## For FY 2005

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)**65**

### Complete if Known

|                      |                         |
|----------------------|-------------------------|
| Application Number   | 10/532,009              |
| Filing Date          | October 22, 2005 (I.A.) |
| First Named Inventor | David S. Lawrence       |
| Examiner Name        | To Be Assigned          |
| Art Unit             | To Be Assigned          |
| Attorney Docket No.  | 96700/996               |

### METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify):  
☒ Deposit Account Deposit Account Number: **01-1785** Deposit Account Name: **Amster, Rothstein & Ebenstein LLP**

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee  
☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

### FEE CALCULATION

#### 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

| Application Type | FILING FEES |                       | SEARCH FEES |                       | EXAMINATION FEES |                       | Fees Paid (\$) |
|------------------|-------------|-----------------------|-------------|-----------------------|------------------|-----------------------|----------------|
|                  | Fee (\$)    | Small Entity Fee (\$) | Fee (\$)    | Small Entity Fee (\$) | Fee (\$)         | Small Entity Fee (\$) |                |
| Utility          | 300         | 150                   | 500         | 250                   | 200              | 100                   |                |
| Design           | 200         | 100                   | 100         | 50                    | 130              | 65                    |                |
| Plant            | 200         | 100                   | 300         | 150                   | 160              | 80                    |                |
| Reissue          | 300         | 150                   | 500         | 250                   | 600              | 300                   |                |
| Provisional      | 200         | 100                   | 0           | 0                     | 0                | 0                     |                |

#### 2. EXCESS CLAIM FEES

| Fee Description  | Fee (\$) | Small Entity Fee (\$) |
|--|----------|-----------------------|
| Each claim over 20 (including Reissues)                                | 50       | 25                    |
| Each independent claim over 3 (including Reissues)                     | 200      | 100                   |
| Multiple dependent claims  | 360      | 180                   |
| Total Claims   |          |                       |
| - 20 or HP =   |          |                       |
| HP = highest number of total claims paid for, if greater than 20.      |          |                       |
| Indep. Claims  |          |                       |
| - 3 or HP =  |          |                       |
| HP = highest number of independent claims paid for, if greater than 3. |          |                       |

#### 3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets Extra Sheets Number of each additional 50 or fraction thereof Fee (\$)

- 100 = / 50 = (round up to a whole number) x =

#### 4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): late oath/declaration fee - small entity status

Fees Paid (\$)

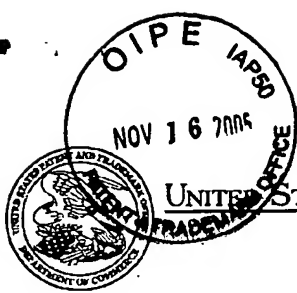
\$65

### SUBMITTED BY

|                   |                  |                                   |        |           |                   |
|-------------------|------------------|-----------------------------------|--------|-----------|-------------------|
| Signature         |                  | Registration No. (Attorney/Agent) | 44,704 | Telephone | 212-336-8000      |
| Name (Print/Type) | Elie H. Gendloff |                                   |        | Date      | November 16, 2005 |

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
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16 NOV 2005

| U.S. APPLICATION NUMBER NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
|-----------------------------|-----------------------|------------------|
| 10/532,009                  | David Lawrence        | 96700/996        |

INTERNATIONAL APPLICATION NO.

PCT/US03/33438

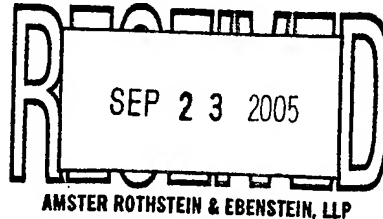
I.A. FILING DATE

10/22/2003

PRIORITY DATE

10/24/2002

Amster Rothstein & Ebenstein  
 Attn: Elie H Gendloff  
 90 Park Avenue, FI 21  
 New York, NY 10016-1463



CONFIRMATION NO. 3836

371 FORMALITIES LETTER



\*OC000000017045014\*

Date Mailed: 09/19/2005

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 04/20/2005
- Copy of the International Search Report filed on 04/20/2005
- Copy of IPE Report filed on 04/20/2005
- Small Entity Statement filed on 04/20/2005
- U.S. Basic National Fees filed on 04/20/2005
- Priority Documents filed on 04/20/2005
- Specification filed on 04/20/2005
- Claims filed on 04/20/2005
- Abstracts filed on 04/20/2005
- Drawings filed on 04/20/2005

|                               |                                  |
|-------------------------------|----------------------------------|
| AMSTER, ROTHSTEIN & EBENSTEIN |                                  |
| DOCKETED                      | 9.23.05                          |
| CLIENT                        | 76700/996                        |
| DUE DATE                      | 11.19.05 - 3.19.06               |
| ACTION                        | Resp To Missing Requirements Due |
| DKT BY                        | AP                               |
| REVIEWED BY                   |                                  |

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$65** for a Small Entity:

- **\$65 Surcharge.**
- This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 CFR 1.821(c) Applicant must provide an initial paper or compact disc copy of the "Sequence Listing", **as well as an amendment specifically directing its entry into the application** and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

**For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:**

- For Rules Interpretation, call (571) 272-0951
- For Patentin Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.
- Send e-mail correspondence for Patentin Software Program Help @ [ebc@uspto.gov](mailto:ebc@uspto.gov)

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

BARBARA A CAMPBELL

Telephone: (703) 308-9140 EXT 217

**PART 1 - ATTORNEY/APPLICANT COPY**

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 10/532,009                  | PCT/US03/33438                | 96700/996        |

FORM PCT/DO/EO/905 (371 Formalities Notice)